

Individual AAO Team Plans

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AAO-West Team

AAO – West Team

The AAO-W Team is responsible for all activities performed at the ANL-W site.

AAO Objectives assigned to the AAO-W Team

- 1) Provide DOE line management oversight of ANL operations and facilities as part of the DOE-CH facility management business line
- 3) Provide line management responsibility for the protection of the public, workers, and the environment from work performed at ANL
- 4) Foster and maintain a business environment and infrastructure that is conducive to conducting cost-effective, world class research and development

AAO Key Responsibilities assigned to the AAO-W Team

- 1) Infrastructure and project management
- 2) ES&H oversight including operational awareness

AAO Functions assigned to the AAO-W Team

- 1) Serve as the facility owner and oversee the facility operations
- 2) Provide DOE line management oversight for ANL facilities and activities
- 6) Determine applicability of DOE policies and issue direction/guidance
- 7) Develop and maintain an ES&H program; oversee ANL ES&H Program; perform ongoing validation of the ANL ISM Program
- 8) Perform infrastructure, project, and facilities and environmental management oversight (includes planning and implementation)
- 9) Maintain effective working relationships and communication with DOE-HQ, other DOE-CH groups, ANL, The University of Chicago and appropriate federal, state, and local regulatory agencies
- 10) Conduct community stakeholder and media relations (for ANL-W)
- 11) Promote world-class research in a safe work environment
- 12) Develop appropriate tools and techniques (e.g. Standard operating procedures) to successfully accomplish assigned mission elements
- 13) Evaluate ANL performance and provide periodic feedback and, if necessary, direction to ANL and the University of Chicago concerning ANL performance
- 14) Perform DOE project management responsibilities
- 15) Perform DOE program management responsibilities
- 16) Integrate competing and/or conflicting interests/programs/requirements
- 17) Authorize work

Customer Expectations assigned to the AAO-W Team

- 3) ES&H – ensure the safety and health of the workforce and members of the public and the protection of the environment in all program activities.
- 4) Infrastructure – maintain the infrastructure to support operations in a safe, environmentally responsible, and cost-effective manner.
- 6) Stakeholder Relations – be a good neighbor. Work with the customers, stakeholders, and neighbors in an open, frank, and constructive manner.

Overall AAO FY-01 Business Plan Objectives assigned to the AAO-W Team

1. Science and Technology Expectations:

1.1. AAO will continue to work with NE to manage NE work at ANL-W.

- ◆ AAO-W will assist NE with development of the annual Program Guidance Memorandum and the annual budget request to Congress.
- ◆ AAO-W will verify that the requirements of the annual Program Guidance Memorandum are met through oversight of programmatic work at ANL-W.
- ◆ AAO-W will provide periodic and ad hoc reports to NE on the status of programmatic work at ANL-W.

2. Leadership Expectations:

2.1. AAO will continue to provide CH management with detailed information on AAO results and issues.

- ◆ AAO-W will provide regular input to the AAO Weekly Activity Reports to CH management.

2.2. AAO will work to clarify AAO expectations of CH support staff so that they understand our needs.

- ◆ AAO-W will work with CH Technical and Administrative Services to obtain assistance from subject matter experts in such areas as criticality safety, fire protection, emergency preparedness, quality assurance, training, and security.

3. ES&H Expectations:

3.1. AAO will continue to work with ANL to ensure that the ISM Program is maintained and enhanced.

- ◆ AAO-W will ensure that ISM corrective actions are accomplished in accordance with completion dates scheduled in the DIOT.

3.2. AAO will work with ANL to ensure that the Price Anderson issues are resolved and performance improves.

- ◆ AAO-W will monitor PAAA Program performance to verify full and effective PAAA Program implementation and to ensure timely resolution of PAAA violations.
- ◆ AAO-W will perform functional area reviews in the following areas related to PAAA Program performance:

ANL-W Self-assessment Program
Root Cause Analysis and Corrective Action Development
Nuclear Safety Review Committee
Quality Assurance Program
Trend Analysis

3.3. AAO will maintain operational awareness of Argonne National Laboratory facilities and operations as defined in the AAO Operational Awareness and Direction Program Description.

- ◆ AAO-W will qualify and requalify Facility Representatives and maintain an effective Facility Representative Program in accordance with DOE-STD-1063-2000.
- ◆ AAO-W will monitor work to ensure that research and other programmatic activities are carried out in accordance with State of Idaho and Federal environmental regulations. This will be accomplished through functional area reviews and the NEPA review process.

4. Infrastructure Expectation:

4.1. AAO will review and gain an understanding of the requirements of the new DOE Order 413.3 "Program and Project Management for the Acquisition of Capital Assets" and provide appropriate guidance to ANL.

- ◆ AAO-W will work with the Laboratory to ensure that Project Implementation Plans and Project Management plans incorporate the requirements of O413.3.

4.2. AAO will continue to develop internal AAO procedures for the conduct of project management and infrastructure management.

- ◆ AAO-W will support overall AAO work in this area through technical reviews of draft procedures.

4.3. AAO will continue to work with ANL on waste operations.

- ◆ AAO-W will oversee initiation of the Remote Treatment Facility Project, including obtaining required permits, adequate review under NEPA, managing the DOE-ID/INEEL interface, reviewing and approving the Project Management Plan, and monitoring cost and schedule performance.

4.4. AAO will continue to work toward early completion of the environmental clean-up work at ANL.

- ◆ AAO-W will reach a consensus decision with the State of Idaho and EPA Region 10 on implementing phytoremediation technology to clean up contaminated ditches and ponds at ANL-W.

5. Business Operations Expectations:

5.1. AAO will continue to work with ANL to improve ANL performance in the safeguards and security business area.

- ◆ AAO-W will perform oversight of the Security Upgrade General Plant Project.
- ◆ AAO-W will work with the Laboratory to develop budget requirements and requests for future safeguards and security upgrades.

6. Stakeholder Expectation:

6.1. AAO will continue to work with the State of Idaho and the Idaho Operations Office to ensure the continuity of ANL-W operations.

- ◆ AAO-W will facilitate the treatment of selected DOE-ID mixed wastes using existing permitted treatment facilities at ANL-W.

FY-01 ANL Contract Performance Measures assigned to the AAO-W Team

Performance Measures

1. Environment, Safety and Health (II.2)
2. Infrastructure (II.3)

System Assessment Measures

1. Environment, Safety and Health (III.1)
2. Infrastructure (III.2)
3. Communications and Trust (III.4.a)

Business Management Team

Business Management Team

Contracting Officer authority for AAO lies within the Business Management Team. The Business Management Team is responsible for ensuring that the ANL Business Systems are in place and operating.

AAO Objectives assigned to the Business Management Team

- 2) Serve as the administrative contracting office for the performance-based management contract with the University of Chicago for ANL
- 3) Provide line management responsibility for the protection of the public, workers, and the environment from work performed at ANL
- 4) Foster and maintain a business environment and infrastructure that is conducive to conducting cost-effective, world class research and development

AAO Key Responsibilities assigned to the Business Management Team

- 3) Contract and business administration of the University of Chicago contract for the management and operation of ANL

AAO Functions assigned to the Business Management Team

- 1) Serve as the facility owner
- 2) Provide DOE line management oversight for ANL's business systems
- 3) Administer the performance-based contract
- 4) Serve as Contracting Officer and Contracting Officer's Technical Representative for the ANL contract
- 5) Perform government administrative and business management functions
- 6) Determine applicability of DOE policies and issue direction/guidance
- 9) Maintain effective working relationships and communication with DOE-HQ, other DOE-CH groups, ANL, the University of Chicago and appropriate federal, state, and local regulatory agencies
- 11) Promote world-class research in a safe work environment
- 12) Develop appropriate tools and techniques (e.g. Standard operating procedures) to successfully accomplish assigned mission elements
- 13) Evaluate ANL performance and provide periodic feedback and, if necessary, direction to ANL and the University of Chicago concerning ANL performance
- 17) Authorize work

Customer Expectations assigned to the Business Management Team

- 5) Business Operations – use efficient and effective corporate management systems and approaches to guide decision-making, streamline and improve operations, align resources and reduce costs, and improve the delivery of products and services.

Overall AAO FY-01 Business Plan Objectives assigned to the Business Management Team

Business Operations Expectations

1. Continue to work with ANL to improve ANL performance in the following areas:
 - a. Cyber-Security (with direct assistance from the AAO Manager)
 - b. Safeguards and security
 - c. Counter-intelligence (with direct assistance from the AAO Manager)
 - d. Personal Property
 - e. Work-for-Others
2. Further develop the management of ANL's performance-based management contract including: a) initiate FY-02 performance measures development earlier in the year, b) include additional customer and stakeholder input.
3. Continue to develop strong communications with ANL in the areas of Partnership Agreements, Work-for-Others, and Procurement.
4. Continue to provide matrix support to the CH Ames Area Office in the form of Work-for-Others, Technology Transfer, and Contracting Officer Support.
5. Work with ANL to assure efficient transition of the site security contract.
6. Develop the Work-for-Others Guidance Manual for use CH-wide.
7. As required under the M&O contract for ANL, verify the adequacy of ANL's compensation system.
8. Work with ANL procurement to improve the Balanced Scorecard Reporting.
9. Provide guidance and direction to ANL to allow for DOE approval of the ANL procurement system. Evaluate and approve the ANL Procurement System.
10. Work with ANL to allow for unconditional approval of the ANL Property Management System.
11. Meet on a monthly basis with ANL procurement staff to assure contractual requirements and expectations are being met.
12. Provide foreign travel approval and guidance in a timely and efficient manner.
13. Incorporate Appendix I – DOE Directives/Orders to the ANL contract, as necessary.
14. Process funding actions for the ANL contract in a timely manner.
15. Evaluate the Building 900 lease for a determination of whether to continue the lease.
16. Work with ANL to ensure that High-Risk Property certification is obtained.

17. Meet quarterly with the ANL Technology Transfer staff to identify and resolve issues.
18. Provide matrix support to the Ames Area Office for CH's M&O in the DC Area.
19. Provide support, as required, for implementing ANL energy conservation initiatives via use of energy savings performance contracting (ESPC) and utility energy service contracting (UESC) resources.
20. Provide leadership and strategic business support for acquisition of electricity supply, as required, for operation of the DOE-Illinois facilities.

FY-01 ANL Contract Performance Measures assigned to the Business Management Team

The Business Team maintains the Contracting Officer authority for the ANL contract and serves as the coordinator for all the performance measures and system assessment measures. Functional responsibility for the following performance measures and system assessment measures resides with the Business Team.

Performance Measures – None

Systems Assessment Measures

1. Financial Management (III.3.a)
2. Human Resources (III.3.b)
3. Diversity (III.3.c)
4. Procurement (III.3.d)
5. Personal Property (III.3.e)
6. Intellectual Property (III.3.f)
7. General Law (III.3.g)
8. Scientific and Technical Information (III.3.h)
9. Information Management (III.3.i)
10. Safeguards and Security (III.3.j)
11. Counterintelligence Program (III.3.k)
12. Technology Transfer (III.4.b)
13. Work for Others (III.4.c)

Environmental Compliance Team

Environmental Compliance Team

The Environmental Compliance Team is responsible for ensuring the establishment of an overall Environmental Compliance Program at ANL. At this time, DOE requires that the Environmental Compliance Program be part of an Integrated Safety Management Program that is established at all its Laboratories. Support in implementing the Environmental Compliance Program comes from all of the AAO organizations.

AAO Objectives assigned to the Environmental Compliance Team

- 1) Provide DOE line management oversight of ANL operations and facilities as part of the DOE-CH facility management business line
- 3) Provide line management responsibility for the protection of the public, workers, and the environment from work performed at ANL
- 4) Foster and maintain an environment that is conducive to conducting cost-effective, world-class research and science

AAO Key Responsibilities assigned to the Environmental Compliance Team

- 2) ES&H oversight and operational awareness

Additional, more detailed responsibilities that are carried out by the Environmental Compliance Team are:

- 1) Maintain technical mission operational knowledge of work and facilities
- 2) Review regulations, DOE Orders, Policy
- 3) Identify and provide relevant guidance to the Contractor for safety, health and environmental matters
- 4) Develop contract requirements including objectives, measures, and expectations
- 5) Determine ANL compliance with regulations, DOE Orders, and DOE policy
- 6) Review ANL Tier 1 and 2 documents and some Tier 3 documents such as the Integrated Safety Management Plan, ESH Manual, Quality Assurance Plan and others
- 7) Review and report on ANL annual self-assessment including the overall ES&H rating
- 8) Perform a yearly assessment of ANL's ES&H performance for the DOE-AAO Group Manager
- 9) Conduct systematic assessments of ES&H programs and processes
- 10) Follow-up on occurrences
- 11) Perform for cause reviews as appropriate for injuries, illnesses, accidents, occurrences, releases and/or complaints
- 12) Monitor, audit and evaluate contractor environment, safety and health management structure
- 13) Develop and maintain standard operating procedures for AAO
- 14) Exercise stop-work authority when necessary
- 15) Review and recommend approval of the contractor's ESH&I prioritization

- 16) Monitor completion of corrective actions taken by ANL to eliminate deficiencies identified through self-assessments, investigations of accidents, incidents, occurrences, external compliance inspections, injuries or illnesses.
- 17) Maintain tracking systems for DOE-AAO commitments, DOE-wide S&H issues, deliverables to environmental regulatory agencies, and AAO NEPA actions.
- 18) Review and prepare NEPA documentation and recommend NEPA determinations
- 19) Coordinate preparation of environmental permit applications and maintenance of permits

AAO Functions assigned to the Environmental Compliance Team

- 1) Serve as the facility owner and oversee the facility operations
- 2) Provide DOE line management oversight for ANL
- 6) Determine applicability of DOE policies and issue direction/guidance
- 7) Develop and maintain an ES&H program; oversee ANL ES&H Program; perform ongoing validation of the ANL ISM Program
- 9) Maintain effective working relationships and communication with DOE-HQ, other DOE-CH groups, ANL, The University of Chicago and appropriate federal, state and local regulatory agencies
- 10) Conduct community stakeholder and media relations
- 11) Promote world-class research in a safe work environment
- 12) Develop appropriate tools and techniques (e.g. Standard operating procedures) to successfully accomplish assigned mission elements
- 13) Evaluate ANL performance and provide periodic feedback and, if necessary, direction to ANL and the University of Chicago concerning ANL performance

Customer Expectations assigned to the Environmental Compliance Team

- 3) ES&H – ensure the safety and health of the workforce and members of the public and the protection of the environment in all program activities.

Overall AAO FY-01 Business Plan Objectives assigned to the Environmental Compliance Team

ES&H Expectations:

1. AAO will continue to work with ANL to ensure that the ISM Program is maintained and enhanced.
3. AAO will maintain operational awareness of ANL facilities and operations as defined in the AAO Operational Awareness and Direction Program Description.

FY-01 ANL Contract Performance Measures assigned to the Environmental Compliance Team

Performance Measures

1. Environment, Safety and Health (II.2)

System Assessment Measures

1. Environment, Safety and Health (III.1)

FY-01 Team Performance Goals

Performance Area: Environment, Safety, and Health (ES&H)

Performance Objective: Improve Argonne-East habitat by completing a mitigation wetland restoration project.

Owner: Team Leader for Environmental Compliance

Assumptions: Restored wetland will resolve U.S. Army Corps of Engineers concerns regarding construction of the Advanced Photon Source, provide compensatory mitigation for future projects at Argonne-East, and increase biodiversity.

Success Measures: Complete wetland management environmental assessment by July 2001. Remove drain tiles from the mitigation area and introduce appropriate vegetation by October 2001. Achieve by October 2003 a net increase of at least three acres of wetland with a mean index of conservatism of 3.5.

Performance Area: Environment, Safety, and Health (ES&H)

Performance Objective: Clarify and streamline AAO compliance with the National Historic Preservation Act (NHPA).

Owner: Team Leader for Environmental Compliance

Assumptions: AAO will enter into a programmatic agreement with the Illinois Historic Preservation Agency and the Advisory Council on Historic Preservation to streamline compliance with the NHPA and guide completion of our Cultural Resource Management Plan.

Success Measures: AAO will submit a programmatic agreement to the Illinois Historic Preservation Agency by March 2001. AAO will seek public comment on our draft Cultural Resource Management Plan by October 2001.

Performance Area: Environment, Safety, and Health (ES&H)

Performance Objective: Verify that the ANL Integrated Safety Management System is maintained.

Owner: AAO Team Leaders for E and S&H

Assumptions: AAO will conduct regularly scheduled performance reviews of targeted ES&H areas.

Success Measures: Complete by the end of September 2001, seven program reviews scheduled for the period January through September 2001. Complete annual review of the ISM program per DOE G. 450.4-1A during contract self-assessment process.

Performance Area: Environment, Safety, and Health (ES&H)

Performance Objective: Use contract performance measures to maintain and improve ANL Integrated Safety Management System.

Owner: DOE-AAO Team Leaders for E and S&H

Assumptions: AAO will maintain an ongoing dialog with ANL to assess performance under existing measures and develop measures for future performance periods.

Success Measures: AAO ES&H Teams meet at least once per quarter with ANL ES&H counterparts to discuss performance measures and develop draft FY 02 measures by June 2001.

Safety and Health Team

Safety and Health Team

The Safety and Health Team is responsible for ensuring the establishment of an overall Safety and Health Program at ANL. DOE requires that an Integrated Safety Management Program be established at all its Laboratories. Support in implementing this ISM program comes from all of the AAO organizations.

AAO Objectives assigned to the Safety and Health Team

- 1) Provide DOE line management oversight of ANL operations and facilities as part of the DOE-CH facility management business line
- 3) Provide line management responsibility for the protection of the public, workers, and the environment from work performed at ANL
- 4) Foster and maintain an environment that is conducive to conducting cost-effective, world-class research and development

AAO Key Responsibilities assigned to the Safety and Health Team

- 2) ES&H oversight and operational awareness

Additional, more detailed responsibilities that are carried out by the Safety and Health Team

- 1) Maintain technical mission operational knowledge of work and facilities
- 2) Review regulations, DOE Orders, Policy
- 3) Identify and provide relevant guidance to the Contractor for safety, health and environmental matters
- 4) Develop contract requirements including objectives, measures, and expectations
- 5) Determine ANL compliance with regulations, DOE Orders, and DOE policy
- 6) Review ANL Tier 1 and 2 documents and some Tier 3 documents such as the Integrated Safety Management Plan, ESH Manual, Quality Assurance Plan and others
- 7) Review and report on ANL annual self-assessment including the overall ES&H rating
- 8) Perform a yearly assessment of ANL's ES&H performance for the DOE-AAO Group Manager
- 9) Conduct systematic assessments of ES&H programs and processes
- 10) Follow-up on occurrences (SOP-4)
- 11) Perform for cause reviews as appropriate for injuries, illnesses, accidents, occurrences, releases and/or complaints
- 12) Monitor, audit and evaluate contractor environment, safety and health management structure
- 13) Develop and maintain standard operating procedures for AAO (SOP-1)
- 14) Exercise stop-work authority when necessary (SOP-16)
- 15) Review and recommend approval of the contractor's ESH&I prioritization (SOP-12)
- 16) Monitor completion of corrective actions taken by ANL to eliminate deficiencies identified through self-assessments, investigations of accidents, incidents,

- occurrences, AAO ES&H Program Reviews, external compliance inspections, injuries or illnesses, etc.
- 17) Maintain tracking systems for AAO commitments, DOE-wide S&H issues, deliverables to environmental regulatory agencies, and AAO ES&H Program Reviews and NEPA actions.
 - 18) Perform operational awareness including observations, walkthroughs and surveillances at ANL facilities through the Facility Representative Program (SOP-26)
 - 19) Serve as the primary point of contact in facilities for DOE
 - 20) Evaluate, review, and concur/approve of safety documentation and authorization basis including but not limited to facility hazard categorization, safety analysis reports, technical safety requirements, criticality hazard control statements, and unreviewed safety question determinations (SOP-7)
 - 21) Review and approve the Laboratory hazard assessment and emergency management plans
 - 22) Review and/or approve safety assessment documents (SOP-15)
 - 23) Review and/or participate in operational readiness reviews and accelerator safety reviews (SOP-9)
 - 24) Confirm readiness for operation (SOP-9)
 - 25) Serve as Price Anderson Amendments Act Coordinator (SOP-21)
 - 26) Participate in emergency preparedness program with the contract and serve as the point of contact with DOE-HQ on these matters (SOP-6)

AAO Functions assigned to the Safety and Health Team

- 1) Serve as the facility owner
- 2) Provide DOE line management oversight for ANL facilities and activities
- 6) Determine applicability of DOE policies and issue direction/guidance
- 7) Develop and maintain an ES&H program; oversee ANL ES&H Program; perform ongoing validation of the ANL ISM Program
- 9) Maintain effective working relationships and communication with DOE-HQ, other DOE-CH groups, ANL, the University of Chicago, and appropriate federal, state, county, and local agencies, including regulators
- 11) Promote world-class research in a safe work environment
- 12) Develop appropriate tools and techniques (e.g. Standard operating procedures) to successfully accomplish assigned mission elements
- 13) Evaluate ANL performance and provide periodic feedback and, if necessary, direction to ANL and the University of Chicago concerning ANL performance

Customer Expectations assigned to the Safety and Health Team

- 3) ES&H – ensure the safety and health of the workforce and members of the public and the protection of the environment in all program activities.

Overall AAO FY-01 Business Plan Objectives assigned to the Safety and Health Team

ES&H Expectations:

- 1) AAO will continue to work with ANL to ensure that the ISM Program is maintained and enhanced.

- 2) AAO will work with ANL to ensure that the Price Anderson issues are resolved and performance improves.
- 3) AAO will maintain operational awareness of ANL facilities and operations as defined in the AAO Operational Awareness and Direction Program Description.
- 4) AAO will continue to improve and enhance its Facility Representative Program.

FY-01 ANL Contract Performance Measures assigned to the Safety and Health Team

Performance Measures

1. Environment, Safety and Health (II.2)

System Assessment Measures

1. Environment, Safety and Health (III.1)

FY-01 Team Performance Goals

Performance Area: Environment, Safety, & Health (ES&H)

Performance Objective: AAO has sufficient, qualified Facility Representatives.

Owner: AAO Team Leader for S&H

Assumptions: AAO will qualify two facility representatives at AAO-W. AAO is required to initiate re-certification of its facility representatives on a three-year cycle. Two other facility representatives began re-certification in FY-2000. This performance objective assumes that all training/testing materials are available.

Success Measures:

- Certify the two new AAO facility representatives by August 2001.
- Finish re-certifying the two AAO facility representatives by April 2001.

Performance Area: Environment, Safety, & Health (ES&H)

Performance Objective: The AAO Facility Representative Program is evaluated and maintained to meet or exceed the Standard.

Owner: AAO Team Leader for S&H

Assumptions: AAO performs a self-assessment of its Facility Representative Program on a three year cycle to identify any issues and initiate corrective actions. This self-assessment is to be used for continuous improvement of the Facility Representative Program.

Success Measure: Complete a plan of Program improvements based on AAO Facility Representative Program self-assessment results by May 2001, including improvements to the facility representative surveillance process.

Performance Area: Environment, Safety, & Health (ES&H)

Performance Objective: ANL achieves a continuously improving Price Anderson Amendments Act (PAAA) program.

Owner: AAO Team Leader for S&H and AAO PAAA Coordinator

Assumptions: Public comments result in no substantive changes affecting implementation of revised Part 830 interim final rule.

Success Measures:

- Verification of corrective actions from Notice of Violation (EA 1999-10) is completed

- Assess improvements to ANL PAAA Program via ESH Program Review in FY2001.
- AAO concurs on ANL's demonstrated compliance with revised Part 830 prior to implementation deadline.

Performance Area: Environment, Safety, & Health (ES&H)

Performance Objective: AAO and ANL have adequate Emergency Preparedness.

Owner: AAO Team Leader for S&H

Assumptions: NBL participates on the planned FY2001 sitewide exercise.

Success Measures:

- Complete a sitewide emergency exercise in FY 2001 with NBL and ANL.
- Evaluate ANL Emergency preparedness via an ESH Program Review by July 2001.
- Participate in sheltering and evacuation drills

Performance Area: Environment, Safety, and Health (ES&H)

Performance Objective: Verify that the ANL Integrated Safety Management System is maintained.

Owner: AAO Team Leaders for E and S&H

Assumptions: AAO will conduct regularly scheduled performance reviews of targeted ES&H areas.

Success Measures: Complete by the end of September 2001, seven program reviews scheduled for the period January through September 2001. Complete annual review of the ISM program per DOE G. 450.4-1A during contract self-assessment process.

Performance Area: Environment, Safety, and Health (ES&H)

Performance Objective: Use contract performance measures to maintain and improve ANL Integrated Safety Management System.

Owner: DOE-AAO Team Leaders for E and S&H

Assumptions: AAO will maintain an ongoing dialog with ANL to assess performance under existing measures and develop measures for future performance periods.

Success Measures: AAO ES&H Teams meet at least once per quarter with ANL ES&H counterparts to discuss performance measures and develop draft FY 02 measures by June 2001.

Infrastructure and Project Management Team

Infrastructure and Project Management Team (IPMT)

The IPMT has the lead for all funded infrastructure related activities and stewardship of the facilities at the ANL-E Site, with the exception of the Environmental Management (EM) funded work. The Environmental Project Management Team, has the lead for all DOE-EM funded infrastructure related activities at the ANL-E Site. The infrastructure and project management work at ANL-W is the responsibility of the AAO-W Team.

The IPMT takes a proactive approach for managing the infrastructure at the ANL-E site. This includes maintaining and/or modernizing/replacing various types of facilities and equipment in an environment of limited resources. The number of challenges faced by the IPMT include:

- 1) Extending the useful life of aging facilities
- 2) Altering or retrofitting facilities to consolidate space or accommodate new functions and technologies
- 3) Meeting evolving facility-related standards for safety, environmental quality, and accessibility
- 4) Maintaining or disposing of excess facilities created through program closures, realignments, downsizing and changing demographics
- 5) Finding innovative ways and technologies to maximize limited resources

AAO Objectives assigned to the IPMT

- 1) Provide DOE line management oversight of ANL-E operations and facilities as part of the DOE-CH facility management business line.
- 3) Provide line management responsibility for the protection of the public, workers, and the environment from work performed at ANL-E.
- 4) Foster and maintain a business environment and infrastructure that is conducive to conducting cost-effective, world-class research and development.

AAO Key Responsibilities assigned to the IPMT

- 1) Infrastructure and project management
- 2) ES&H oversight including operational awareness

AAO Specific Responsibilities assigned to the IPMT

Under item **1) Infrastructure and project management** above, the following specific break-out of responsibilities assigned to IPMT are:

Program Management

Multiprogram Energy Laboratories-Facilities Support (MEL-FS)

General Plant Project (GPP)

General Plant Equipment (GPE)

Maintenance Management

Energy Efficiency Management (Electric, Gas, Water)

Real Estate (Space Utilization, FIMS, Easements, and Land Transfers)

Project Management
MEL-FS Projects
GPP
Accelerator Improvements (AP)
Site Demolition
Energy Retrofits
Utility Incentive Projects (UIP)
Energy savings Performance Contracts (ESPC)

Projects Tasks
Davis-Bacon Determinations
Baseline/Baseline Change Approvals
Construction Directive Authorizations
Design (Title 1 and 11) Reviews
Project Management Plan Reviews
Progress/Status Reviews
Construction Field Progress and Quality Inspections
Inspections for Final Acceptance
Project Close-out/Completion Reports

Comprehensive Planning
Institutional Plan
Site Development Plan
Maintenance Plans
ESH&I Management Plan
Energy Management Plans

Miscellaneous Management Activities
Davis-Bacon & Labor Standards
Utility Contracts/Negotiation (Electric, Gas, and Water)
Vehicle Management

DOE Policy and Orders
LCAM Implementation, DOE O (430.1A)
In-House Energy Management, DOE O (430.2)
Program and Project Management for the Acquisition of Capital Assets,
DOE O (413.3)

Administrative/Technical Support
Contractor's Performance Assessments
Quarterly and Annual Progress Status Reports
Weekly Highlights
Presentations/Graphs/Charts

Under item **2) ES&H oversight including operational awareness**, the following specific breakout of responsibilities assigned to IPMT are:

Construction Field Safety Inspections
ESH&I Management Plan
Construction Field Progress and Quality Inspections
Inspections for Final Acceptance

Design (Title I and II) Reviews

AAO Functions assigned to the IPMT

- 1) Serve as the facility owner and oversee the facility operations
- 2) Provide DOE line management oversight for ANL
- 6) Determine applicability of DOE policies and issue direction/guidance
- 8) Perform infrastructure, project, and facilities management oversight
- 9) Maintain effective working relationships and communication with DOE-HQ, other DOE-CH groups, ANL, The University of Chicago and appropriate federal, state, and local regulatory agencies
- 11) Promote world-class research in a safe work environment
- 12) Develop appropriate tools and techniques (e.g. Standard operating procedures) to successfully accomplish assigned mission elements
- 13) Evaluate ANL performance and provide periodic feedback and, if necessary, direction to ANL and the University of Chicago concerning ANL performance
- 14) Perform DOE project management responsibilities

AAO “important activities” assigned to the IPMT

- 1) Review/validate ANL-E maintenance budget
- 2) Analyze ANL-E infrastructure construction project mission needs and assist in formulation of infrastructure budgets
- 3) Oversee of infrastructure construction project implementation
- 4) Oversee In-House Energy Management Program
- 5) Participate in the Site Development Planning activities
- 6) Review Davis-Bacon Determinations
- 7) Assist in development and justification of budget requests to Congress
- 8) Conduct OSHA oversight of construction activities
- 9) Review project cost estimates
- 10) Verify mission need for new project construction initiatives
- 11) Perform design reviews
- 12) Review and oversee contractor's project management practices
- 13) Oversee implementation of infrastructure construction projects
- 14) Conduct construction site progress and quality oversight inspections

Customer Expectations assigned to the IPMT

- 4) Infrastructure – maintain the infrastructure to support operations in a safe, environmentally responsible, and cost-effective manner.

Overall AAO FY-01 Business Plan Objectives assigned to the IPMT

Infrastructure Expectations:

1. AAO will review and gain an understanding of the requirements of the new DOE Order 413.3 “Program and Project Management for the Acquisition of Capital Assets” and provide appropriate guidance to ANL
2. AAO will continue to develop internal AAO procedures for the conduct of project management and infrastructure management

FY-01 Team Performance Goals

Performance Area: Chicago Operations Office (CH), AAO (AAO), Infrastructure Management Team (IMT)

Performance Objective: Oversight and partnering with the Laboratory for the continuous improvement of the Laboratory's Facility Maintenance Management Program.

Owner: AAO-IMT Leader, and, M. Rosenquist, CH-STS

Assumptions: Operational Awareness performance with expert Matrix Support from DOE-CH-STS will identify what AAO-IMT and the Laboratory both consider to be the strengths, weaknesses, and areas of improvement for the Laboratory's Facility Maintenance Management program.

Success Measure: Conduct approximately four days of Operational Awareness of key elements of the Laboratory's Maintenance Management program and identify the program's strengths, weaknesses, and planned future improvements.

Performance Area: AAO-IMT

Performance Objective: Oversight of the Laboratory's implementation of DOE Order 413.3, "Program and Project Management for the Acquisition of Capital Assets" and partnering with the Laboratory for implementation and continuous improvement.

Owner: AAO-IMT Leader

Assumptions: Operational Awareness activity involving the implementation, review of the procedure documentation for conducting business under the subject DOE Order, and follow-up on continuous programmatic improvement.

Success Measure: Conduct a quarterly review of the key elements of the Laboratory's approach and implementation of the subject Order, identifying strengths, weaknesses, and areas of improvement .

Performance Area: AAOIMT

Performance Objective: Oversight of the Laboratory's implementation of DOE Order "Life Cycle Asset Management, (LCAM)"

Owner: AAO-IMT Leader

Assumptions: Operational Awareness activity involving the implementation, review of the procedure documentation for conducting business under the subject DOE Order, and follow-up on continuous programmatic improvement.

Success Measure: Conduct an annual review of the key elements of the Laboratory's approach and implementation of the subject Order, identifying strengths, weaknesses, and areas of improvement.

Performance Area: AAO-IMT

Performance Objective: Review, revise, and/or update any of the existing AAO-IMT's procedures to be consistent with the Departments currently approved Policy and Orders involving project performance issues.

Owner: AAO-IMT, Leader

Assumptions: AAO-IMT existing standard procedures involving the monitoring, measurement, and closeout of project activities covered under DOE Order 430.1A, "Life Cycle Asset Management, and DOE Order 413.3, "Program And Project Management For The Acquisition Of Capital Assets, may need to be reissued to be consistent with the recently approved subject Orders.

Success Measure: Revise and update the AAO-IMT standard procedures by the end of September 2000.

FY-01 ANL Contract Performance Measures assigned to the Infrastructure and Project Management Team

Performance Measures

1. Infrastructure (II.3)

System Assessment Measures

1. Infrastructure (III.2)

Environmental Projects Team

Environmental Projects Team (EPT)

The EPT has the lead for all funded environmental projects related activities and stewardship of the operational waste management facilities at the ANL-E site. The Environmental Projects Team, has the lead for all DOE-EM funded environmental restoration projects and DOE-SC funded waste management related activities at the ANL-E site. Environmental restoration projects and waste management operations work at the ANL-W site is the responsibility of the AAO-W Team.

The EPT takes a proactive approach for managing the environmental projects at the ANL-E site. This includes maintaining and/or modernizing/replacing various types of facilities and equipment in an environment of limited resources. The number of challenges faced by the EPT include:

- 1) Extending the useful life of aging facilities
- 2) Altering or retrofitting facilities to consolidate space or accommodate new functions and technologies
- 3) Meeting evolving facility-related standards for safety, environmental quality, and accessibility
- 4) Maintaining or disposing of contaminated excess facilities created through program closures, realignments, downsizing and changing demographics
- 5) Finding innovative ways and technologies to maximize limited resources
- 6) Fulfilling demanding multiple customer expectations in a ever tightening regulatory environment and a flat or declining financial resource situation

AAO Objectives assigned to the EPT

- 1) Provide DOE line management oversight of ANL-E operations and facilities as part of the DOE-CH facility management business line.
- 3) Ensure the protection of the public, workers, and the environment for work performed at ANL-E.
- 4) Foster and maintain an environment that is conducive to conducting cost-effective, world-class research and development.

AAO Key Responsibilities assigned to the EPT

- 1) Waste management Infrastructure and environmental project management
- 2) ES&H oversight including operational awareness

AAO Specific Responsibilities assigned to the EPT

Under item 1) **Waste management infrastructure and environmental project management** above, the following specific breakout of responsibilities assigned to EPT are:

Program Management

RCRA Corrective Action remedial actions

DOE directed remedial actions

DOE directed Decontamination and Decommissioning

- DOE Technology Development
- Waste management operations
- Legacy waste disposal
- Pollution Prevention

Project Management

- RCRA CA Remedial Actions at 300 Area, 800 Area, and Rest of Site
- DOE Remedial Actions at 300 Area vaults and Lime Sludge
- D&D at Bldg. 310, Juggernaut Reactor, and Bldg. 301 Hot Cells
- Phytoremediation at 300 Area, Technology Development
- Management of hazardous, radioactive, and mixed wastes
- Disposal of mixed PCB, FFCA STP mixed waste, CH TRU waste, old LLW
- P2 core program, opportunity assessments, project implementation
- EPQ Quarterly Reviews
- Mid Year Review Presentations to HQ
- Year End Review Presentations to HQ

Projects Tasks

- Baseline Development
- Baseline Change Proposal Review/Negotiation/Approvals
- Budget Negotiations/Justification/Option planning
- Current Year Work Plan Review/Negotiation/Approval
- Current Year Work Authorization Review/Negotiation/Approval
- Remedial Action Plan Reviews
- Routine Progress/Issue Resolution Meetings w/ Contractor
- Progress/Status Reviews
- ORPS/PAA Monitoring and Follow-up
- Construction Field Progress and Quality Inspections
- Project status presentations to sponsors
- Inspections for Final Acceptance
- Project Close-out/Completion Reports

Comprehensive Planning

- Waste Transition Planning
- Facility Transfer to EM Planning
- ESH&I Management Plan
- Long Term Stewardship Planning

Miscellaneous Management Activities

- GMRA/GPRA reporting
- FMFIA assessments and reporting
- Support for M&O Contract Evaluation
- Support for M&O Contract Performance Measures
- Ad Hoc Program and Project Reporting

DOE Policy and Orders

- LCAM Implementation, DOE O (430.1A)
- DOE Order 5400.5 Implementation
- DOE Order 435.1 Implementation
- Program and Project Management for the Acquisition of Capital Assets, DOE O (413.3)

Administrative/Technical Support

- Weekly Reports to HQ
- Weekly Highlights to CH
- AAO Priority Updates
- RCRA CA Quarterly Reports
- Monthly Reports to HQ
- IEPA Document Status Tracking
- IEPA NFA Determination Status Tracking
- Quarterly and Annual Progress Status Reports
- Presentations/Graphs/Charts

Under item **2) ES&H oversight including operational awareness**, the following specific breakout of responsibilities assigned to EPT are:

- Construction Field Safety Inspections
- ESH&I Management Plan
- Construction Field Progress and Quality Inspections
- Inspections for Final Acceptance

AAO Functions assigned to the EPT

- 1) Serve as the facility owner and oversee the facility operations
- 2) Provide DOE line management oversight for ANL facilities and activities
- 6) Determine applicability of DOE policies and issue direction/guidance
- 8) Perform infrastructure, project, and facilities and environmental management oversight
- 9) Maintain effective working relationships and communication with DOE-HQ, other DOE-CH groups, ANL, the University of Chicago and appropriate federal, state, county, and local agencies, including regulators
- 10) Conduct community stakeholder and media relations
- 11) Promote world-class research in a safe work environment
- 12) Develop appropriate tools and techniques (e.g. Standard operating procedures) to successfully accomplish assigned mission elements
- 13) Evaluate ANL performance and provide periodic feedback and, when necessary, direction to ANL and the University of Chicago
- 14) Perform DOE project management responsibilities

Customer Expectations assigned to the EPT

- 4) Infrastructure – maintain the infrastructure to support operations in a safe, environmentally responsible, and cost-effective manner.
- 6) Stakeholder Relations-be a good neighbor. Work with the customers, stakeholders, and neighbors in an open, frank, and constructive manner.

Overall AAO FY-01 Business Plan Objectives assigned to the EPT

Environmental Projects Expectations:

2. Leadership-support for all items 1-5 listed in the AAO FY 2001 Business Plan
3. ES&H-support for item 3 listed in the Business Plan

4. Infrastructure-support for items 1-2, 4-6, and implementation of DOE Order 435.1
6. Stakeholder relations-support for items 1 and 3 listed in the Business Plan.

FY-01 Team Performance Goals

Performance Area: Chicago Operations Office (CH), AAO (AAO), Environmental Projects Team (EPT)

Performance Objective: Oversight of and partnering with the Laboratory for the continuing reduction in legacy waste inventory.

Owner: AAO EPT Leader and AAO WM Program Manager

Assumptions: Budgets will be stable, CBFO will provide TRU PACT II's as needed, EM HQ/CBFO will open a shipping corridor.

Success Measure: Certification of legacy CH TRU will be completed. Shipment of other legacy LLW and MW will support elimination of all legacy CH TRU and MW from the site not later than FY04, except for RH-TRU and RH MW.

Performance Area: AAO-EPT

Performance Objective: Oversight of and partnering with the Laboratory for the continuing receipt of "No Further Action" determinations by IEPA, at a rate consistent with completion of all 54 RCRA CA SWMU's not later than the close of FY03.

Owner: AAO-EPT Remedial Action Manager

Assumptions: Budgets and regulatory requirements will be stable and any new findings of contamination will not exceed available contingency.

Success Measure: Individual SWMU assessments and cleanup construction projects will be completed consistent with approved work authorization and Baseline, allowing some substitution if it is consistent with the overall performance objective.

Performance Area: AAO-EPT

Performance Objective: Oversight of and partnering with the Laboratory for the continuing completion of D&D facility assessment and cleanups, at a rate consistent with completion of all ANL-E EM Baseline facilities not later than the close of FY03.

Owner: AAO-EPT D&D Manager

Assumptions: Budgets and regulatory requirements will be stable and any new findings of contamination will not exceed available contingency.

Success Measure: Individual facility assessments and D&D cleanups will be completed consistent with approved work authorization and Baseline, allowing some substitution if it is consistent with the overall performance objective.

Performance Area: AAO-EPT

Performance Objective: Support for and partnering with the Laboratory for the continuing completion of SNS project scope for FY01.

Owner: AAO-EPT Leader

Assumptions: Budgets and regulatory requirements will be stable. Scope will sufficiently stable to reasonably assess progress.

Success Measure: Will support overall project by participation in periodic Project Office conference calls, at least one project review per FY, and periodic meetings with the ANL Senior Team leader including instrument development area walk downs.

FY01 ANL Contract Performance Measures assigned to the Environmental Projects Team

Performance Measures

1. Infrastructure (II.3)

System Assessment Measures

1. Infrastructure (III.2)

AAO Manager and Deputy Manager

AAO Manager and Deputy Manager

The Management Team at AAO consists of the following members:

- 1) AAO Manager
- 2) AAO Deputy Manager/Supervisor Business Management Team and AAO-W Team
- 3) Supervisor Environmental Compliance Team and Safety and Health Team
- 4) Supervisor Environmental Projects Team and Infrastructure and Project Management Team

The AAO Management Team is responsible for the coordination of all the AAO responsibilities and functions.

The AAO manager is ultimately responsible for the overall AAO:

- 1) mission
- 2) objectives
- 3) responsibilities
- 4) achieving customer expectations
- 5) achieving AAO Performance Goals

Several specific activities are handled directly by the CH Manager. These activities have not been assigned to any of the AAO Teams. These activities include:

- 1) Management of the mid-year, third quarter, and annual ANL/University of Chicago appraisals.
- 2) Management of the development of the annual performance measures and system assessment measures for the ANL contract.

Functions

- 10) Conduct community stakeholder and media relations (direct support is provided by the Environmental Projects Team and the Environmental Compliance Team)

Customer Expectations

1. Science and Technology – perform and support outstanding science and technology. Develop and support leading edge enabling technologies that are critical to the DOE program sponsor needs and the nation.
2. Leadership – provide leadership that ensures excellence, relevance, and stewardship in all aspects of the conduct of program activities.
6. Stakeholder Relations – be a good neighbor. Work with the customers, stakeholders, and neighbors in an open, frank, and constructive manner.

Under the Business Operations Expectation, the CH Manager has direct responsibility for Cyber-security and Counter-intelligence

FY-01 ANL Contract Performance Measures

Performance Measures

1. Leadership (II.1)
2. Infrastructure (II.3) Cyber-security

System Assessment Measures

1. Communications and Trust (III.4.a)

FY-01 AAO Manager Goals for FY-01

1. Science and Technology – perform and support outstanding science and technology. Develop and support leading edge enabling technologies that are critical to the DOE program sponsor needs and the nation.
 1. Work with ANL on the ANL FY-02 Institutional Plan by performing a review of the draft plan – 4th Quarter of FY-01.
 2. Identify areas where the AAO can actively support the FY-02 ANL initiatives in the ANL FY-02 Institutional Plan – 4th Quarter of FY-01.
2. Leadership – provide leadership that ensures excellence, relevance, and stewardship in all aspects of the conduct of program activities.
 1. The AAO will conduct a mid-year assessment of ANL performance – 3rd Quarter FY-01
 2. The AAO will conduct a 3rd Quarter assessment of ANL performance – early 4th Quarter FY-01
 3. The AAO will complete the FY-01 ANL assessment and fee determination – February 2001.
 4. Continue to provide CH Management with the AAO Priorities List to ensure adequate information on AAO activities – several times a month.
 5. Identify developmental assignments within the AAO for CH personnel – 1st and 2nd Quarter of FY-01
6. Stakeholder Relations – be a good neighbor. Work with the customers, stakeholders, and neighbors in an open, frank, and constructive manner.
 1. Conduct quarterly meetings with the Community Leaders Round Table - 4 meetings in FY-01.